

Guidelines and fill-in
forms are available
at www.ims.gov



INSTITUTE
of MUSEUM
and LIBRARY
SERVICES

2005 NATIONAL LEADERSHIP GRANTS

*for Libraries and
Museums*

Application Deadline:

February 1

NATIONAL LEADERSHIP GRANTS

Grant Application and Information

Fiscal Year 2005

What is IMLS?

The Institute of Museum and Library Services (IMLS), an independent agency within the Executive Branch, was established by Act of Congress in 1996 to improve museum, library and information services. Within IMLS, the Office of Museum Services was established to encourage and assist museums in modernizing their methods and facilities so that they may be better able to conserve our cultural, historic, and scientific heritage; and to ease the financial burden borne by museums as a result of their increasing use by the public. The Office of Library Services was established to consolidate federal library programs, to stimulate excellence and promote access to resources in all types of libraries for individuals of all ages, to promote library services that provide access to information through electronic networks, to provide linkages among and between libraries and to promote targeted library services to people of diverse backgrounds and abilities.

IMLS provides support to all types of libraries through grants to States and through discretionary programs. For many museums, IMLS is the only source of federal support. The National Museum and Library Services Board, a Presidentially-appointed body confirmed by the Senate, provides policy advice to the Director of IMLS.

For more information call or write:

Institute of Museum and Library Services
1100 Pennsylvania Avenue, NW
Washington, DC 20506
(202) 606-8536

E-mail: imlsinfo@imls.gov

Web site: <http://www.imls.gov/>

TTY (for hearing-impaired people): (202) 606-8636

Visually or learning disabled people may obtain assistance in acquiring a cassette recording of this or any other IMLS grant information and guidelines booklet by contacting IMLS.

Burden Estimate and Request for Public Comments

Public reporting burden for this collection of information is estimated to average 40 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestion for reducing this burden, to the Institute of Museum and Library Services, 1100 Pennsylvania Avenue NW, Room 223, Washington, DC 20506; and to the Office of Management and Budget, Paperwork Reduction Project (3137-0001), Washington, DC 20503.

CFDA No. 45.312



INSTITUTE
of MUSEUM
and LIBRARY
SERVICES

Dear Colleague,

IMLS is dedicated to creating and sustaining a nation of learners by helping libraries and museums serve their communities. IMLS's goal is to increase public access to unique cultural, scientific, and artistic collections; to vast information and research resources; and to educational opportunities for learners of all ages—and to help each individual build the capacities to use these resources fully.

While museums and libraries remain cornerstones of a democratic society, their roles in American society have grown increasingly complex. Changes in our society—in the technological infrastructure, in the economic substrata, and in the social landscape that defines communities—dictate corresponding changes in the way libraries and museums structure and deliver services.

For example, new technologies and global information networks create opportunities to facilitate information access in new ways and increase opportunities for interaction among individuals and groups. Because of its broad mandate to support cultural heritage institutions, IMLS is uniquely positioned to help libraries, museums, and archives develop ways to provide seamless access to digital resources.

The ways in which people learn and what they need to know is changing rapidly. Together with schools and universities, libraries and museums are core agencies of lifelong learning. Museums and libraries foster a spirit of inquiry. They are adept at offering solid learning experiences at their institutions, in communities, in schools, and online.

Globalization is increasing the need for insights that cross cultural, geographic, and economic boundaries. Libraries and museums are stewards of cultural heritage; they encourage reflection on the human experience and support advanced research in all knowledge domains.

The need for civic engagement is core to a democratic society. Libraries and museums foster community involvement and provide important spaces, both virtual and physical, for dialog and debate. They enjoy a high degree of public confidence and are regarded as trustworthy; they have a diverse and broad user base and the ability to work across ages and social groups.

National Leadership Grants play an important role in helping libraries and museums to address the educational, economic, and social challenges our society faces.

Sincerely,

Robert S. Martin, Ph.D.
Director

Table of Contents

part 1

GENERAL INFORMATION

Program Purpose	1.2
Eligibility	1.2
<i>Eligibility Criteria for National Leadership Grants for Libraries</i>	<i>1.2</i>
<i>Eligibility Criteria for National Leadership Grants for Museums</i>	<i>1.3</i>
Data Universal Numbering System/Taxpayer Identification Number	1.4
Partnerships	1.4
Conditions of a Grant	1.5
<i>Duration of a Grant</i>	<i>1.5</i>
<i>Project Start Date</i>	<i>1.5</i>
<i>Amount of Grant</i>	<i>1.5</i>
<i>Cost Sharing</i>	<i>1.5</i>
<i>Use of Funds</i>	<i>1.6</i>
<i>Project Evaluation</i>	<i>1.6</i>
<i>Copyright/Work Products</i>	<i>1.6</i>
<i>Announcement of Award</i>	<i>1.6</i>
<i>Payment, Accounting, Management and Reporting Procedures</i>	<i>1.7</i>

part 2

CATEGORIES OF FUNDING

Advancing Learning Communities	2.2
Building Digital Resources	2.4
Research and Demonstration	2.5
Selecting the Appropriate Category	2.7

part 3**THE APPLICATION**

Application Review Process	3.2
Application Evaluation Criteria	3.3
Guidance for Digitization Projects	3.6
<i>Information to Include in Proposal</i>	3.6
<i>Interoperability</i>	3.6
<i>Digitization Plans</i>	3.6
<i>Resources for Digitization Projects</i>	3.6
Completing the Application	3.9
<i>Electronic Fill-in Application Forms</i>	3.9
<i>Face Sheet</i>	3.10
<i>Application Checklist</i>	3.11
<i>Abstract</i>	3.11
<i>Narrative</i>	3.11
<i>Schedule of Completion</i>	3.11
<i>Budget</i>	3.11
<i>Specifications for Projects Involving Digitization</i>	3.14
<i>Partnership Statement</i>	3.15
<i>Proof of Nonprofit Status</i>	3.15
<i>Applicant(s) Organizational Profile</i>	3.16
<i>Resumes</i>	3.16
<i>Attachments</i>	3.16

part 4**ASSEMBLING AND SENDING THE APPLICATION**

Assembling the Application Package	4.2
Sending the Application to IMLS	4.4
<i>Shipping</i>	4.4
<i>Hand Delivery</i>	4.4
<i>IMLS Acknowledgment</i>	4.4
<i>Proof of Shipping</i>	4.5

<i>part 5</i>	APPLICATION FORMS	
	Application Checklist	5.2
	Face Sheet	5.3
	Project Budget Form: Summary Budget	5.6
	Project Budget Form: Detailed Budget	5.7
	Specifications for Projects Involving Digitization	5.9
	Sample Schedule of Completion	5.11
	Sample Partnership Statement	5.12
	IMLS Assurances	5.13

GENERAL INFORMATION

Program Purpose

National Leadership Grants enable libraries and museums to help all individuals attain the knowledge, skills, attitudes, behaviors, and resources that enhance their engagement in community, work, family, and society. Projects should enable libraries and museums to address current problems in creative ways, develop and test innovative solutions, and expand the boundaries within which our cultural heritage institutions operate. The results of these projects—whether new tools, research, models, services, practices, or alliances—will help equip tomorrow’s libraries and museums to better meet the needs of a nation of learners.

Eligibility

ELIGIBILITY FOR LIBRARIES

- An applicant must
- be either a unit of state or local government or private nonprofit organization that has tax-exempt status under the Internal Revenue Code;
 - be located in one of the fifty states of the United States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau; and
 - qualify as one of the six types of organizations listed below:
 1. A library or a parent organization, such as a school district, a municipality, a state agency, or an academic institution, that is responsible for the administration of a library. Eligible libraries include public libraries, elementary and secondary school libraries, college and university libraries, research libraries and archives that are not an integral part of an institution of higher education and that make publicly available library services and materials that are suitable for scholarly research and not otherwise available,¹ and private or special libraries that have been deemed eligible to participate in this program by the state in which the library is located.
 2. An academic or administrative unit, such as a graduate school of library and information science, which is a part of an institution of higher education through which it would make application.
 3. A digital library, if it makes library materials publicly available and provides library services, including selection, organization, description, reference, and preservation under the supervision of at least one permanent professional staff librarian.
 4. A library agency that is an official agency of a state or other unit of government and is charged by the law governing it with the extension and development of public library services within its jurisdiction.
 5. A library consortium that is a local, statewide, regional, interstate, or international cooperative association of library entities that provides for the systematic and effective coordination of the resources of eligible libraries, as defined above, and information centers that work to improve the services delivered to the clientele of these libraries.
 6. A library association that exists on a permanent basis, serves libraries or library professionals on a national, regional, state, or local level, and engages in activities designed to advance the well-being of libraries and the library profession.

ELIGIBILITY FOR MUSEUMS

- An applicant must
 - be either a unit of state or local government or private nonprofit organization that has tax-exempt status under the Internal Revenue Code;
 - be located in one of the fifty states of the United States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau; and
 - qualify as one of the three types of organizations listed below:
 1. A museum² that (1) is organized on a permanent basis for essentially educational or aesthetic purposes; (2) cares for and owns or uses tangible objects, whether animate or inanimate, and exhibits these objects on a regular basis through facilities it owns or operates; (3) has at least one professional staff member or the full-time equivalent, whether paid or unpaid, whose responsibilities relate solely to the museum's services and operations³; and (4) is open and providing museum services to the general public on a regular basis. (A museum that exhibits objects to the general public for at least 120 days a year fulfills this last requirement.⁴)

Please note, a museum located within a multipurpose public or private nonprofit organization such as a municipality, university, historical society, foundation, or a cultural center may apply on its own behalf for National Leadership Grants if (1) the museum is able independently to fulfill all the requirements for museum eligibility listed above, (2) functions as a discrete unit within the parent organization, (3) has its own fully segregated and itemized operating budget, and (4) has the authority to make application on its own. When any of the last three conditions cannot be met, a museum may apply through its parent organization, and the parent organization may submit a single application for one or more of its museums.

2. A museum service organization or association⁵ that engages in activities designed to advance the well-being of museums and museum professionals, and institutions of higher education.
3. An institution of higher education, including public and nonprofit universities.

¹ Research libraries must either be generally recognized as possessing unique scholarly research materials and services that are made available to the public or they must be able to demonstrate that such is the case when they submit an application to IMLS.

² Eligible museums include aquariums, arboretums, art museums, botanical gardens, children/youth museums, general museums (those having two or more significant disciplines), history museums, nature centers, planetariums, science/technology centers, specialized museums that are limited to a single distinct subject, and zoological parks.

³ When a museum does not have a full-time professional staff member, it has to demonstrate in the application that it has the full-time equivalent of at least one professional staff member and that, if it receives an IMLS award, one of the part-time professional staff members will be responsible for overseeing grant activities and ensuring that the museum is in compliance with the requirements of the grant.

⁴ If a museum is not scheduled to be open to the public 120 days a year, it is still eligible to apply to IMLS for funding if it can demonstrate that, in the year preceding the submission of its application, the combination of days it was scheduled to be open and days it was open by appointment equal at least 120 days.

⁵ A friends group associated with a single museum is not an eligible museum service organization or association.

Data Universal Numbering System(DUNS)/ Taxpayer Identification Number (TIN)

To improve the statistical reporting of federal grants and cooperative agreements, the Office of Management and Budget has directed all federal agencies to require all applicants for federal grants to provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number when applying for federal grants or cooperative agreements on or after October 1, 2003. The DUNS number will be required whether an applicant is submitting a paper application or using the government-wide electronic portal (E-Grants).

Organizations should verify that they have a DUNS number or take the steps needed to obtain one. Organizations can receive a DUNS number at no cost by calling the dedicated toll-free DUNS Number request line at 1-866-705-5711 or by visiting <http://www.dnb.com/us/>. Individuals who would personally receive a grant or cooperative agreement award from the federal government apart from any business or nonprofit organization they may operate are exempt from this requirement.

The Taxpayer Identification Number (TIN) is an identification number used by the Internal Revenue Service (IRS) in the administration of tax laws. It is issued either by the Social Security Administration (SSA) or by the IRS. A Social Security number is issued by the SSA whereas all other TINs are issued by the IRS. An Employer Identification Number (EIN), also known as a federal tax identification number, is a nine-digit number that the IRS assigns to business entities. The IRS uses this number to identify taxpayers that are required to file various business tax returns.

If an organization does not have a DUNS and a TIN number, the application will be rejected.

Partnerships

Where appropriate, partnerships stimulate a broader community perspective and are encouraged, though not required, in this program. Partners may include community organizations, public media, and institutions and agencies that promote learning in addition to libraries, archives, museums, or other cultural heritage organizations. The lead applicant must be an eligible entity.

Conditions of a Grant

**DURATION
OF A GRANT**

Generally, project activities supported by National Leadership Grants may be carried out for a period of up to 36 months.

**PROJECT
START DATE**

Projects may begin no earlier than October 1 and no later than December 1.

**AMOUNT OF
GRANT**

National Leadership Grants range from \$25,000 to \$1,000,000. IMLS will review and negotiate budgets as necessary. Applicants may be granted an amount less than that requested.

**COST
SHARING**

Applicants are generally expected to share the costs of projects. Cost sharing will be considered as an element in the review of all applications. Proposals that demonstrate strong institutional support through cost sharing are generally rated more favorably by reviewers. IMLS prefers that applicants provide at least 50 percent of the cost of any equipment to be purchased for the project. IMLS encourages applicants to contribute as cost sharing the salaries of any permanent staff to be employed on a project in proportion to the amount of time they will spend on the project. If IMLS funding is requested for salaries of permanent staff, the proposal should explain how their regular duties will be performed during the grant period. IMLS strongly encourages applicants to seek third-party donations of cash, equipment, and services. If any funds are to be contributed as cost share by sources other than the applicant or its official partners, the applicant must identify whether the commitment of funds is assured or pending. If the funds are assured, the applicant should include a letter from the source affirming its commitment. If the funds are not assured, the applicant should describe its plan for meeting the promised cost share from other sources in the event that the pending funds are not received. All listed expenses, including all cost sharing, must be incurred during the grant period. Government-wide uniform administrative rules and requirements apply.

Applicants for all types of projects who request \$250,000 or less from IMLS are encouraged to provide at least one-third of the total cost of the project from nonfederal sources. Applicants who request more than \$250,000 from IMLS, for all types of National Leadership Grants projects other than research projects, must provide at least one-half of the total cost of the project from nonfederal sources.

Because research benefits the museum, library, and information sciences communities more than any one institution, IMLS does not require a one-to-one match for research proposals. However, applicants for research grants are encouraged to provide at least one-third of the total cost of the project from nonfederal sources. Demonstration efforts remain subject to match requirements for requests greater than \$250,000. See discussion of Research and Demonstration, page 2.5.

**USE OF
FUNDS**

National Leadership Grants may be used for a broad range of project activities. Grant funds may not be used for construction, acquisition of collections, contributions to endowments, social activities, ceremonies, entertainment, or pre-grant costs. For library grants and for library and museum collaborations, purchase of limited amounts of library materials are allowable if the purchase is justified as part of a larger project; however, IMLS prefers that applicants contribute such purchases as cost sharing. All revenues generated with project funds during the grant period must be reported as program income and should be applied to the grant recipient's cost sharing. All listed expenses must be incurred during the grant period. Government-wide cost principles apply.

**PROJECT
EVALUATION**

IMLS expects most National Leadership Grant activities to have measurable results. All applicants should budget for substantive project evaluation, and grantees should report evaluation findings. IMLS supports and encourages the use of outcomes-based planning and evaluation (OBE) for projects that identify a change in user or participant skills, knowledge, behavior, attitude, status, or life condition as a significant goal. Additional information about OBE is available on the IMLS Web site at http://www.imls.gov/grants/current/crnt_obe.htm or on request from IMLS. The IMLS online project planning tutorial for National Leadership Grants, available on the IMLS Web site at http://e-services.imls.gov/project_planning, also includes information about OBE. IMLS provides a two-day course on OBE for recipients of National Leadership Grants. Applicants are required to request travel funds to attend this training and other IMLS-designated meetings. Applicants should budget \$2,000 per year for this purpose, or \$4,000 per year for partnership projects.

**COPYRIGHT/
WORK
PRODUCTS**

IMLS requires acknowledgment of IMLS assistance in all publications and other products resulting from the project. Products should be distributed free or at cost unless the recipient has received written approval from IMLS for another arrangement. With written permission, the recipient may copyright any work that is subject to copyright and was developed under an award or for which ownership was purchased. IMLS reserves, for federal government purposes, a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, or otherwise use the work and authorize others to reproduce, publish, or otherwise use the work. IMLS requires that grantees provide three copies of any products produced with IMLS funds to IMLS with the final reports. Generally, a Beta version of software developed on an IMLS-funded project must be provided to IMLS as a product of the grant. Consult with IMLS regarding software development projects.

**ANNOUNCEMENT
OF AWARD**

No information about the status of an application will be released until all applications have been reviewed and all negotiations are concluded. IMLS will notify applicants of final decisions in mid-September.

**PAYMENT,
ACCOUNTING,
MANAGEMENT
AND
REPORTING
PROCEDURES**

A federal accounting office handles the payment of National Leadership Grants. Grant recipients may request cash advances or reimbursements as needed during the project period. Payments are made electronically. IMLS requires grant recipients to maintain a restricted account for funds received during the project period. They do not need to maintain a separate bank account for IMLS grant funds; however, they must establish and maintain a separate accounting category within an internal accounting system to show that the funds have been used for project costs only. This restricted accounting record must be adequate to satisfy normal auditing procedures. Grants are subject to the provisions of Office of Management and Budget audit requirements. In addition, government-wide uniform grant administrative rules and requirements apply.

Grant recipients are required to submit six-month performance reports as well as annual financial status reports. They are also required to submit a final performance report and a final financial report.

CATEGORIES OF FUNDING

Advancing Learning Communities

Deadline:	February 1, 2005
Amount of Grant:	\$25,000 – \$1,000,000
Grant Period:	Up to Three Years
Cost Sharing:	One-to-one from nonfederal sources for requests greater than \$250,000. Cost sharing of at least one-third is encouraged for requests at or below \$250,000. For research projects, see Research and Demonstration category, page 2.5.
Eligibility:	Lead applicant must be an eligible library or museum as described on pages 1.2 to 1.3.
Program Contacts:	<p>For Libraries: Susan Malbin (202) 606-5389, smalbin@imls.gov</p> <p>For Museums: Dan Lukash (202) 606-4644, dlukash@imls.gov</p> <p>Jeannette Thomas (202) 606-8548, jtkthomas@imls.gov</p>

OVERVIEW

The purpose of this category is to create new opportunities for libraries and museums to engage with other educational and community organizations to mutually support the educational, economic, and social needs of learners of all ages. Learning communities can be established without regard to geographic boundaries; they can exist virtually or in a particular place or places.

Collaborative projects are encouraged, where appropriate. Partners may include community organizations, public media, and institutions and agencies that promote learning in addition to libraries, archives, museums, or other cultural heritage organizations. The lead applicant must be an eligible entity.

- IMLS particularly encourages projects that
- Meet clearly defined community needs through innovative collaborations between museums and libraries, and with other organizations as appropriate.
 - Promote learning in formal or informal settings through designs based on current research in cognition and learning.

- Promote learning through innovative uses of technology to deliver library and/or museum resources.
- Effectively engage communities in learning through the services of museums and libraries; communities may include families, teachers, students, caregivers, museum and/or library staff, and others, especially in groups that cross generational and other social boundaries.
- Enhance learning by exploring the relationship between digital and physical learning experiences.
- Create learning through innovative approaches to delivering library and museum content and services via the Internet2 network.

Building Digital Resources

Deadline:	February 1, 2005
Amount of Grant:	\$25,000 – \$1,000,000
Grant Period:	Up to Three Years
Cost Sharing:	One-to-one from nonfederal sources for requests greater than \$250,000. Cost sharing of at least one-third is encouraged for requests at or below \$250,000. For research projects, see Research and Demonstration category, page 2.5.
Eligibility:	Lead applicant must be an eligible library or museum as described on pages 1.2 to 1.3.
Program Contacts:	<p>For Libraries: Martha Crawley (202) 606-5513, mcrawley@imls.gov</p> <p>For Museums: Dan Lukash (202) 606-4644, dlukash@imls.gov</p> <p>Jeannette Thomas (202) 606-8548, jkthomas@imls.gov</p>

OVERVIEW

The purpose of this category is to support the creation, use, preservation, and presentation of significant digital resources as well as the development of tools to manage digital assets.

Collaborative projects are encouraged, where appropriate. Partners may include community organizations, public media, and institutions and agencies that promote learning in addition to libraries, archives, museums, or other cultural heritage organizations. The lead applicant must be an eligible entity.

- IMLS particularly encourages projects that
- Improve or broaden community access to museum and/or library resources through innovative approaches and/or improved practice for digital resources.
 - Demonstrate approaches that effectively preserve or archive digital media.
 - Help individuals and organizations manage, present, and/or use digital assets effectively through authoring, annotation, personalization, or other tools.
 - Demonstrate and evaluate the effectiveness of large-scale collaborative approaches to managing and preserving digital resources, especially projects of a statewide, multi-state, thematic, or national scope.
 - Test, or develop and test, business or service models for sustaining digital assets.

Research and Demonstration

Deadline:	February 1, 2005
Amount of Grant:	\$25,000 – \$1,000,000
Grant Period:	Up to Three Years
Cost Sharing:	Because research benefits the museum, library, and information sciences communities more than any one institution, IMLS does not require a one-to-one cost sharing for research proposals. However, applicants for research grants are encouraged to provide at least one-third of the total cost of the project from nonfederal sources. Research projects will remain subject to evaluation on contributions. Demonstration projects remain subject to cost-sharing requirements for requests greater than \$250,000.
Eligibility:	Lead applicant must be an eligible library or museum as described on pages 1.2 to 1.3.
Program Contacts:	<p>For Libraries: Martha Crawley (202) 606-5513, mcrawley@imls.gov</p> <p>For Museums: Dan Lukash (202) 606-4644, dlukash@imls.gov</p> <p>Jeannette Thomas (202) 606-8548, jkthomas@imls.gov</p>

OVERVIEW

The purpose of this category is to help libraries and museums increase their impact by supporting research on issues of national concern and demonstrating new solutions to real-world problems.

Collaborative projects are encouraged, where appropriate. Partners may include community organizations, public media, and institutions and agencies that promote learning in addition to libraries, archives, museums, or other cultural heritage organizations. The lead applicant must be an eligible entity.

Research

Both basic and applied research projects are encouraged. Research proposals should pose a question and explain through the plan of work how the question will be

investigated, how data will be gathered and analyzed, and how results will be evaluated and disseminated. Successful proposals will place the proposed work within the context of current research. Applied research may include testing in a real-world environment, but must be carried out through an investigative methodology. Results of research must be generalizable.

Demonstration

Demonstration projects test potential solutions to problems in library and museum service. Proposals should develop and/or test either one potential solution to a problem or more than one solution, with evaluation and testing in a real-world environment.

IMLS particularly encourages projects that

- Provide knowledge that enhances people's ability to use library and/or museum resources.
- Enhance library and/or museum services, including preservation, through the effective and efficient use of new and appropriate technologies.
- Collaboratively develop new standards for library or museum services.
- Evaluate the impact of libraries and library services, and/or museums and museum services on users or communities.
- Improve knowledge about users' information needs, expectations, and behaviors.
- Investigate or develop systems of knowledge organization, such as taxonomies and ontologies, to enhance information discovery.
- Investigate issues such as knowledge integration, digital preservation, interoperability, or the integration of digital and physical experiences; see for example the discussion in "Report of the Workshop on Opportunities for Research on the Creation, Management, Preservation and Use of Digital Content" (<http://www.imls.gov/pubs/pdf/digitalopp.pdf>).
- Investigate how learning takes place in museums and libraries.

Selecting the Appropriate Category

- Advancing Learning Communities
- Building Digital Resources
- Research and Demonstration

Consider project goals, tasks, and costs when selecting a funding category. Project goals and activities, and the preponderance of the project costs, should match the overview description for the chosen category as closely as possible.

For example, if the primary purpose of a project is to increase use of historical photographs in a library by providing high school students with online access to digitized images and the bulk of the funding requested is for digitizing the collection, the project should be submitted in the Building Digital Resources category. Choose Advancing Learning Communities if the primary purpose of the project is for a library to partner with a museum and a school system to teach students to use online materials, and the bulk of the funding requested is for workshops, classroom demonstrations, and museum visits.

All proposals for formal research projects, regardless of topic, should apply under the Research and Demonstration category. Proposals under other categories will not be permitted to claim the lower cost sharing requirements allowed under Research and Demonstration.

Regardless of the category selected, all proposals that include digitization tasks must include the form Specifications for Projects Involving Digitization (see pages 5.9 to 5.10).

Prospective applicants for National Leadership Grants may find the following resources helpful as they develop project ideas:

- “The 21st Century Learner” at <http://www.imls.gov/pubs/pdf/pub21cl.pdf>
- “Report of the Workshop on Opportunities for Research on the Creation, Management, Preservation and Use of Digital Content” at <http://www.imls.gov/pubs/pdf/digitalopp.pdf>
- IMLS Digital Corner provides links to resources, conference proceedings, and grant lists at <http://www.imls.gov/digitalcorner/index.htm>
- Lists of past recipients of National Leadership Grants—search grants lists at <http://www.imls.gov/search.asp> and profiles of successful IMLS grantees at http://www.imls.gov/closer/cls_hilt.htm

For the 2005 competition, IMLS established three categories of NLG funding that broadly relate to the types of projects supported in prior NLG competitions. Applicants who have past experience with the NLG program may use the following chart as a general reference to understand the new organization of NLG funding categories. It is important to remember that this is a general guide only, and that depending on the goal and design of the project, the project could be appropriate to more than one category.

2005 National Leadership Grant (NLG) Category	2004 Library NLG Category	2004 Museum NLG Category	What's NEW
Advancing Learning Communities	<ul style="list-style-type: none"> • Library and Museum Collaboration 	<ul style="list-style-type: none"> • Library and Museum Collaboration • Museums in the Community • Professional Practices 	Collaboration is no longer a separate category; projects in any category are encouraged to include substantive multi-organization collaboration.
Building Digital Resources	<ul style="list-style-type: none"> • Library and Museum Collaboration (digitization) • Preservation or Digitization 	<ul style="list-style-type: none"> • Library and Museum Collaboration • Museums Online • Professional Practices 	Non-digital library preservation projects should apply under Research and Demonstration.
Research and Demonstration	<ul style="list-style-type: none"> • Research and Demonstration 	<ul style="list-style-type: none"> • Library and Museum Collaboration • Professional Practices 	<p>Museum Research and Demonstration projects are now eligible.</p> <p>Museum conservation research projects should continue to apply under Conservation Project Support (see separate guidelines); all other research projects apply under this category.</p>
Education and training projects for staffing should apply under Librarians for the 21st Century or 21st Century Museum Professionals (see separate guidelines).			

Please note that in FY 2005, IMLS and the Corporation for Public Broadcasting (CPB) will offer the Partnership for a Nation of Learners (PNL) as a joint funding initiative under the auspices of the National Leadership Grant program. The initiative's goal is to encourage museums, public broadcasting licensees, and libraries to fulfill their educational and community roles more effectively through meaningful content and service collaborations.

The Partnership for a Nation of Learners will include an IMLS-managed grant program to support local, community-based collaborations. Collaborations must include at least one museum or library and one public broadcasting licensee. While NLG grants are awarded to innovative models that are replicable for a national audience, PNL Community Collaboration grants serve the needs of a local community.

PNL Community Collaboration grant guidelines will be available for this initiative on the IMLS Web site in fall 2004; applicants should **not** use these NLG guidelines to prepare their PNL proposal. Eligible applicants include museums, libraries, or public broadcasting licensees. Grant amounts will range from \$25,000 to \$250,000. The 2005 application deadline is March 1, 2005. For more information, see www.partnershipforlearners.org.

THE APPLICATION

Application Review Process

IMLS staff determines whether an applicant is eligible and whether an application is complete. IMLS staff may contact applicants for information needed to make an eligibility determination. If an applicant is determined to be ineligible as an official applicant, the application will be rejected without evaluation (see Eligibility, pages 1.2 to 1.3.). Incomplete applications are subject to rejection without evaluation. If an application is rejected, the applicant will be notified by mail.

Institutions may submit multiple proposals, but the same proposal may not be submitted to more than one category or program. An institution may apply as a lead applicant in one category and serve as a partner on other applications without jeopardizing its chances of funding.

All eligible and complete applications will be competitively reviewed. All eligible applications for National Leadership Grants will be evaluated by individual field review and/or panel review. Reviewers will have expertise in the types of activities and types of organizations identified in the proposed projects, and will be drawn from professionals in the field and from the areas of expertise required. The IMLS Director will make funding decisions based on the evaluations by reviewers, the types of projects encouraged by IMLS, and the overall goals of the National Leadership Grants program and of IMLS.

Reviewers will be instructed to evaluate the proposed projects according to the criteria identified in these guidelines. Applicants should address all criteria in the Application Narrative, with additional substantiation provided by appropriate attachments and supporting material, as needed.

Examples of funded projects can be found on the IMLS Web site. For museum projects, go to http://www.imls.gov/grants/museum/mus_nlgm.asp. For library projects, go to http://www.imls.gov/grants/library/lib_nlgl.asp.

Application Evaluation Criteria

National Leadership Grants are intended for projects that are innovative and even risk-taking. They are not intended to support basic operational needs.

The most successful National Leadership Grants proposals result from careful planning, including identification of a problem, assessment of potential solutions, development of a proposed approach, gathering of key people and resources to test or demonstrate proposed solutions, and a plan to evaluate results. Partnerships among institutions to achieve a broader vision and leverage resources are encouraged in all categories to maximize the impact of federal funding.

Successful proposals demonstrate a clear sense of how projects benefit their communities and contribute to their professions. The most competitive projects provide creative solutions to problems of national importance and develop models for other organizations to adapt or emulate to extend the benefit of federal support.

An idea need not be entirely new to exhibit leadership potential and have innovative impact. The best proposals may improve on or extend previous work in an interesting and significant way. Successful proposals will explain how a proposed project builds on an existing base of knowledge, including previous projects and/or published literature, and how results will benefit the professional community as well as the public. Institutions of all sizes and types are encouraged to develop projects that meet the specific needs of their counterparts across the country.

Applicants are encouraged to take the IMLS Project Planning Tutorial on the IMLS Web site at http://e-services.imls.gov/project_planning/.

1. ASSESSMENT OF NEED

Describe the project's intended audience and the audience needs that the project serves. Discuss how the project will benefit this audience either through direct service or through increased knowledge.

Evaluation Criteria: Evidence that the applicant has identified an audience, performed a formal or informal assessment of its needs, is aware of similar projects completed by other institutions, and has developed the project and its goals as the best solution to answer those needs.

Research proposals should frame the project in the context of current research and explain what this project will contribute to the library and/or museum fields.

2. NATIONAL IMPACT AND INTENDED RESULTS

Describe how the project innovatively addresses current issues that concern the library and/or museum fields and will have a lasting impact on those field(s). Describe how the significance of results will be determined.

Evaluation Criteria: Degree to which the project reflects an understanding of current issues related to library or museum services, creatively addresses issues facing museums or libraries of similar size or discipline, and envisions change in the field that could result from the project. Degree to which the project is likely to have a far-reaching impact through results or products that serve multiple institutions and constituencies, or evidence that the project is of sufficient scope to effect systemic change within organizations and across organizations. Evidence that the project will create, implement, and document workable models that have the potential for successful, widespread adaptation where appropriate or will produce far-reaching results. Degree to which project processes or outcomes have potential applications in other settings and are made available so that others may adapt them for their own use. Leadership proposals may carry a risk of failure, but should demonstrate how potential benefits outweigh risks.

For projects involving digital collections, in addition to the above, evidence that the project demonstrates interoperability in its broadest context and potential for integration into larger scale initiatives.

For research projects, evidence that the results will be generalizable and useful to the library and/or museum communities.

3. PROJECT DESIGN AND EVALUATION PLAN

Describe the scope of the project, including project goals, the project planning process, the specific activities to implement the project, and the expected results. Describe relationship of the project to any similar projects completed by other institutions in the library or museum fields. Describe the design, integration, and implementation of an assessment method that will measure project outcomes, findings, or products.

Evaluation Criteria: Evidence that the project proposes efficient, effective, and reasonable approaches to accomplish its clear goals and objectives. Evidence that the methodology and design are appropriate to the scope of the project. Evidence that the project uses existing or emerging standards or best practices in the technical area to which the project relates. Evidence that the evaluation plan ties directly to project goals through measurable project outcomes, findings, or products. Evidence that evaluation will provide reliable information on which to judge impact or base actions.

For research projects, proposals should pose the research questions clearly, explain through the plan of work how the questions will be investigated, how data will be gathered and analyzed, and how results will be evaluated. The proposal should provide evidence that results are likely to be valid, reliable, and generalizable.

4. PROJECT RESOURCES: BUDGET, PERSONNEL, AND MANAGEMENT PLAN

Describe institutional responsibilities for the project's implementation and management. Describe personnel who will complete project activities, and discuss

their qualifications and commitment to the project activities, particularly if they have other, ongoing duties. Discuss the budget allocated to accomplish project activities, including cost sharing. If the project includes a partnership, discuss contributions to and benefits from the project for both the applicant and partner organizations.

Evaluation Criteria: Evidence that the applicant will effectively complete the project activities through the deployment and management of resources including money, facilities, equipment, and supplies. A cost-efficient budget that uses appropriate resources to fulfill the cost-sharing requirement. Evidence that the project personnel demonstrate appropriate experience and expertise and will commit adequate time to accomplish project goals and activities.

If the project includes partnerships, evidence that all partners are active contributors to and beneficiaries of the partnership activities.

5. DISSEMINATION

Describe how the library and/or museum fields will be able to learn about the project. Discuss how this communication will use a variety of appropriate media and will reach appropriate audiences.

Evaluation Criteria: Extent to which the results, products, models, findings, processes, or benefits of this project will be made transparent and accessible through effective communication channels in the museum and/or library fields, and, where appropriate, other professional organizations and communities. Examples include, but are not limited to, conference presentations, publications, Web sites, and community outlets. Multiple dissemination methods are desirable.

6. SUSTAINABILITY

Describe how the applicant will continue to support the project or its results beyond the end of the grant period.

Evaluation Criteria: Extent to which the project's benefits will continue beyond the grant period, either through ongoing institutional support of project activities or products, Web sites, and development of institutional expertise and capacity, or through broad long-term access to project products. Extent to which project will lead to systemic change within the institution as well as within the museum and/or library field.

For projects involving digitization, in addition to the above, the effectiveness of project plans to preserve and sustain digital materials.

For research projects, the extent to which project findings are made broadly accessible and enter into the knowledge base of the library and/or museum fields.

Guidance for Digitization Projects

INFORMATION TO INCLUDE IN PROPOSAL

In the proposal narrative, describe the subject matter and its significance, including relationships to related collections. Explain how the material was or will be selected for digitization. Describe the additional value that digitization will bring to the materials, such as enabling innovative uses or attracting new audiences. Describe how potential users will discover the collection. The application also includes a form, Specifications for Projects Involving Digitization (see pages 5.9 to 5.10), which must be completed and submitted with the application. Funded digitization projects are encouraged to report their projects to a public registry of digital resources and/or a national bibliographic utility, as appropriate. The University of Illinois at Urbana-Champaign is creating a registry and a metadata repository of collections digitized with IMLS funding. See the project site at <http://imlsdcc.grainger.uiuc.edu>.

INTEROPERABILITY

Digitization projects should follow existing standards and best practices where applicable and should be interoperable with other collections.

DIGITIZATION PLANS

Applicants for digitization projects are strongly encouraged to develop a digitization plan before writing the grant application, and to include a copy of the plan as an appendix to the application.

RESOURCES FOR DIGITIZATION PROJECTS

IMLS has published “A Framework of Guidance for Building Good Digital Collections” as a resource for applicants planning digitization projects, which is now maintained by the National Information Standards Organization. It is available at <http://www.niso.org/framework/forumframework.html>. This document contains links to many Web sites with useful information for planning and implementing digitization projects. IMLS offers a wealth of information, including lists of digitization projects funded, at the Digital Corner on the IMLS Web site at: <http://www.imls.gov/digitalcorner/index.htm>.

The list of resources below will guide applicants to resources for learning more about digitization projects. It is neither exhaustive nor an endorsement by IMLS of any particular resource.

TRAINING

Many universities, organizations, and businesses provide training in digitization and related topics. The following are examples only—check the general resource lists for leads to more training opportunities and the topic lists below for training resources in specific subject areas.

- <http://www.library.cornell.edu/preservation/tutorial/contents.html>—Moving Theory into Practice: Digital Imaging Tutorial, by Cornell University Department of Preservation and Collections Maintenance.
- http://www.solinet.net/digital_services/ds_templ.cfm?doc_id=2506—SOLINET (Southeastern Library Network) offers training in digital imaging, copyright, digital preservation, and other related topics.
- <http://www.oclc.org/education/workshops/default.htm>—OCLC (Online Computer Library Center) provides seminars, workshops, and online training in digital projects, preservation, copyright, and other topics related to digitization.

GENERAL

- <http://www.cdpheritage.org/resource/index.html>—The Colorado Digitization Program's Web site has a site devoted to digitization resources that includes information about copyright, metadata, digitization standards, and administrative concerns.
- <http://memory.loc.gov/ammem/ftpfiles.html>—Building Digital Collections: Technical Information and Background Papers, Library of Congress American Memory Project.
- <http://library.amnh.org/diglib/index.html>—The American Museum of Natural History's Digital Library Project Web site has information on and links to resources on many topics, such as planning, standards, and digital resources management.
- <http://sunsite.berkeley.edu/imaging>—Digitizing Images and Text, the Berkeley Digital Library portal, links to resources on digitization projects, resources, and tools.
- <http://www.mainememory.net/home.shtml>—The Maine Memory Network provides guidance and resources for its contributing cultural institutions such as libraries, museums, archives, and historical societies.
- <http://images.library.uiuc.edu/resources/links.htm>—The University of Illinois at Urbana-Champaign Digital Imaging Media Technology Initiative provides resources about many digitization topics, including a listing of current imaging programs, organizations, and committees.
- <http://www.chin.gc.ca/English/index.html>—The Canadian Heritage Information Network has information on creating and managing digital content.
- <http://www.nedcc.org/digital/tofc.htm>—The Handbook for Digital Projects: A Management Tool for Preservation and Access, a Northeast Document Conservation Center site, offers nine chapters of a handbook on project management, scanning, copyright issues, technical topics, best practices, vendor relations, and longevity. Includes many links to related sites.
- <http://www.diglib.org/publications.htm>—The Digital Library Federation has publications on a range of topics including digital image management and preservation.
- http://www.rlg.org/en/page.php?Page_ID=12081—The Research Library Group's DigiNews, a bimonthly Web-based newsletter.
- <http://www.asis.org/Bulletin/Jun-04/index.html>—The Bulletin of the American Society for Information Science and Technology, vol. 30, no. 5, June/July 2004, contains a special section about online museum information.

METADATA

- http://www.niso.org/standards/resources/Metadata_Demystified.pdf—Metadata Demystified, by Amy Brand, Frank Daly, and Barbara Meyers (The Sheridan Press and NISO Press, 2003).
- http://www.getty.edu/research/conducting_research/standards/intrometadata/index.html—Introduction to Metadata: Pathways to Digital Information, edited by Murtha Baca (Getty Research Institute, 2000).

PRESERVATION OF DIGITAL MATERIAL

- <http://www.library.cornell.edu/iris/tutorial/dpm/>—Digital Preservation Management: Implementing Short-term Strategies for Long-term Problems, a tutorial by the Cornell University Department of Preservation and Collections Maintenance.
- <http://www.dlib.org>—D-Lib Magazine has many articles on preservation of digital materials.

INTELLECTUAL PROPERTY

- <http://www.umuc.edu/distance/odell/cip/>—Center for Intellectual Property and Copyright in the Digital Environment, by the Office of Distance Education and Lifelong Learning at the University of Maryland University College.
- <http://www.copyright.iupui.edu/>—Copyright Management Center (CMC), Indiana University–Purdue University Indianapolis.

UNIVERSAL ACCESS

- <http://www.w3.org/WAI/>—The World Wide Web Consortium’s guidance and resources on web accessibility for people with disabilities.
- <http://trace.wisc.edu/world/web/>—Designing More Usable Web Sites. The Trace Center presents resources on universally accessible Web guidelines, compliance with Section 508, and forums for discussing accessibility issues.

Completing the Application

An application requesting National Leadership Grants support should include the following materials organized in the order listed:

1. Face Sheet
2. Application Checklist
3. Abstract
4. Narrative
5. Schedule of Completion
6. Project Budget (Summary, Detailed, and Budget Justification)
7. Current, federally negotiated rate for indirect costs, if applicable
8. Specifications for Projects Involving Digitization, if applicable
9. Partnership Statement, if applicable
10. Proof of Nonprofit Status, if applicable
11. Applicant(s) Organizational Profile
12. Resume(s) for key project personnel
13. Attachments
14. Electronic version of items 3, 4, 8, and question 36 of the Face Sheet on a 3.5 inch disk or a CD.

Please see page 4.2 for more information.

The applicant must submit one unstapled, loose-leaf original [with original signature(s) of authorizing official(s)] plus 10 copies of the entire application (1 + 10 = 11), plus two additional copies of the Face Sheet. Do not place the original or copies in binders or notebooks.

Applicants are required to submit an electronic copy of items 3, 4, 8, and question 36 of the Face Sheet on a 3.5 inch disk or a CD, formatted as a text file (.txt) or a rich text file (.rtf). Be sure to include institution and project contact information as a file in your disk. No submitted application materials will be returned.

ELECTRONIC FILL-IN APPLICATION FORMS

IMLS now makes all application forms available on our Web site in PDF (Portable Document File) format for download. Applicants can download the electronic version of an IMLS application form and, using freely available software, type into the forms on any computer. This eliminates the need for a typewriter or for re-creation of IMLS application forms. Note that the forms cannot be submitted electronically, but may be completed online and then printed on the applicant's printer and shipped. Caution: the forms cannot be saved, so they must be completely filled in and printed in one operation. To access the fill-in application forms, visit <http://www.imls.gov/grants/appl/index.htm>.

Alternatively, applicants may recreate the forms electronically following the IMLS format or may type on printed forms.

FACE SHEET

The Face Sheet is provided as pages 5.3 to 5.5 in the Application Forms section of this document. Use or replicate this form. This page is available as a fill-in form on the IMLS Web site.

FACE SHEET FORMS INSTRUCTIONS**Questions 1–9**

Enter the legal name of the organization that is making the application and its mailing address, Web address, and DUNS and TIN numbers. If a museum, library, or other eligible entity does not have the authority to apply directly to IMLS for funding, enter the name of the parent organization that is submitting the application on behalf of the eligible entity, followed by the name of the museum, library, or other eligible entity in the space provided for the organizational unit.

Questions 10–17

Enter the name, address, and contact information of the person (Project Director) who will be responsible for carrying out the project and who will serve as the primary contact with IMLS regarding the progress achieved under the grant.

Questions 18–24

Enter the name, address, and contact information of the person (Authorizing Official) who has the authority to apply for federal support of the institution's activities and enter into legal agreements in the name of the institution. (In those rare instances when a person who would normally serve as the authorizing official is the project director, the name, title, address, etc. of the person to whom the project director reports—e.g., the Board Chair—should be entered here and that person should sign the application.)

Question 25

Check yes if the applicant organization is a university or is part of a university.

Question 30

Enter the project's starting date (must be first day of the month in which grant activities are scheduled to begin). Enter the project's ending date (the last day of the month in which these activities will be completed).

Question 31

Indicate the applicant organization's type of governing authority.

Question 33

Indicate the most appropriate description of the applicant organization.

Question 37

This statement is to be signed by the Authorizing Official of the applicant organization.

**APPLICATION
CHECKLIST**

The Checklist is provided as page 5.2 in the Application Forms section of this document. This page is available as an electronic fill-in form on the IMLS Web site (see page 3.9). Use the Checklist to help you arrange the sections of the application in the correct order.

ABSTRACT

An Abstract of no more than one page, single spaced (600 word maximum) containing the following elements: (1) project title; (2) description of project goals and major activities; and (3) anticipated results.

NARRATIVE

A well-designed proposal narrative is thorough and succinct while addressing all the evaluation criteria. Detailed budget discussions should be included in budget justification. Planning documents that informed the project design, such as needs assessments or digitization plans, should be attached as appendixes. Applicants are encouraged to take the online tutorial that IMLS has developed, which is available at http://e-services.imls.gov/project_planning.

The application narrative must be no more than 10 pages, should address the Evaluation Criteria as listed on pages 3.3 to 3.5 in the order presented there, with each response numbered, and must:

- conform to the space limits of 10 single-spaced, one-sided pages.
 - use 8.5- by 11-inch paper.
 - leave a margin of at least .5 inch on all sides.
 - be printed on only one side of each page.
 - have each page numbered.
 - be printed in a 12-point typeface with no more than six lines per vertical inch and standard spacing between letters. Condensed fonts are not acceptable.
- Handwritten applications will not be accepted.

**SCHEDULE
OF
COMPLETION**

The applicant must provide a Schedule of Completion that shows when each major project activity will be completed and how grant funds will be expended throughout the project. The Schedule of Completion must correspond to the activities described in the Narrative. It must include direct costs requested from IMLS for each activity. A Sample Schedule of Completion is provided on page 5.11. The dates on your Schedule of Completion must correspond with the project dates on the Face Sheet (pages 5.3 to 5.5) and budget pages (pages 5.6 to 5.8). The applicant need not follow the sample format but must provide the same information, indicating milestones for completion of each major project activity and showing how grant funds are to be spent over the course of the project.

BUDGET

The IMLS National Leadership Grant application includes three elements to describe the costs of a proposed project: a Summary Budget form that describes costs for the entire project, a Detailed Budget form for each year of the project, and a Budget Justification that explains all components of the Detailed Budget form.

SUMMARY BUDGET

The Summary Budget should clearly identify the amount requested from IMLS, and the amount provided as cash and in-kind contributions by the applicant, by any partners, and from any other sources in the cost-share column. This page is available as an electronic fill-in form on the IMLS Web site (see page 3.9) or may be recreated using the same format.

IMLS has provided instructions below on what information to include in the Detailed Budget form. IMLS has described each cost category included on the Detailed Budget form, as well as the information that the applicant should include in this section.

DETAILED BUDGET FORMS INSTRUCTIONS

Project Costs

The budget should include the project costs that will be charged to grant funds as well as those that will be supported by applicant or third-party cash and in-kind contributions (cost sharing). In-kind contributions include the value of services or equipment that is donated to the project free of charge.

All of the items listed, whether supported by grant funds or cost-sharing contributions, must be reasonable, necessary to accomplish project objectives, allowable in terms of the applicable federal cost principles, auditable, and incurred during the grant period. Charges to the project for items such as salaries, fringe benefits, travel, and contractual services must conform to the written policies and established practices of the applicant organization.

When indirect costs are charged to the project, care should be taken to ensure that expenses included in the organization's indirect cost pool (see Indirect Costs below) are not charged to the project as direct costs.

Fringe Benefits

Fringe benefits may include contributions for social security, employee insurance, pension plans, etc. Only those benefits not included in an organization's indirect cost pool may be shown as direct costs.

Travel Costs

The lowest available commercial fares for coach or equivalent accommodations must be used and foreign travel must be undertaken on U.S. flag carriers when such services are available.

Equipment

Permanent equipment is defined as nonexpendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more.

Services

The costs of project activities to be undertaken by a third-party contractor, including a partner, should be listed under this budget category as a single line item that shows the amount that will be charged to IMLS grant funds and the cost sharing that will be contributed by the third party. A complete itemization of these costs should be attached to the IMLS budget form. If there is more than one contractor, the cost of each contract must be listed separately on the IMLS budget form and must have an attached itemization.

Indirect Costs (Overhead)

These are costs that are incurred for common or joint objectives and therefore cannot be readily identified with a specific project or activity of an organization. Typical examples of indirect cost type items are the salaries of executive officers, the costs of operating and maintaining facilities, local telephone service, office supplies, and accounting and legal services.

- Indirect costs are computed by applying a negotiated indirect cost rate to a distribution base (usually the direct costs of the project). Organizations that wish to include overhead charges in the budget, but do not have a current federally negotiated indirect cost rate or have not submitted a pending indirect cost proposal to a federal agency, may charge an administrative fee to the project of up to 15 percent. IMLS will pay this administrative fee only on that portion of direct project costs that are supported by IMLS funds. This fee may also be applied to the direct project costs that will be supported by the applicant and may therefore be counted as part of the applicant's cost sharing. If an applicant chooses this option, it must be careful to exclude all indirect-cost type items from the budget and the fee may not be applied to more than the first \$5,000 of distorting costs such as equipment purchases or subcontracts.
- If an institution has a federally negotiated indirect cost rate that will be current at the time an award is made, this rate may be used to determine total project costs, as long as the rate is applied in accordance with the negotiated agreement and a copy of the negotiation is forwarded to IMLS with the application. However, IMLS will pay indirect costs only on the portion of the direct costs that are supported by IMLS funds. Indirect costs that are related to the direct project costs that will be supported by the applicant may be included in the budget only as a part of the applicant's cost sharing. IMLS will not accept an indirect cost rate that is scheduled to expire before the award is issued.
- An institution that is in the process of negotiating an indirect cost rate with a federal agency may apply the proposed rate to estimate total project costs as long as it follows the instructions in the previous paragraph in applying the rate and includes the indirect cost proposal in the application material. IMLS will not pay any indirect costs until a rate is negotiated and a copy of the final agreement is submitted to the IMLS Office of Grants Administration. It is possible that the amount of the award will be reduced if the final negotiated rate is less than the rate that was used in the application budget. However, the amount of the award will not be increased if the negotiated indirect cost rate is higher than the rate proposed in the application.
- An organization that will function as a partner in undertaking grant activities may charge an administrative fee to the project of up to 15 percent if it does not have a federally negotiated indirect cost rate that will be current at the time the award is made. If it chooses to charge indirect costs to the project, a copy of the indirect cost negotiation must be attached to the budget itemization.

BUDGET JUSTIFICATION

The Budget Justification should explain all elements of the Detailed Budget. For example, the Budget Justification should explain the role that each person listed in the project budget will play. It should also provide justification for all proposed equipment, supplies, travel, services, and other expenses. The applicant should provide specifications for all hardware and software for which IMLS funding is requested.

IMLS encourages applicants to contribute as cost sharing the salaries of permanent staff to be employed on a project in proportion to the amount of time they will spend on the project. If IMLS funding is requested for salaries of permanent staff, the proposal should explain why funds are requested for this purpose and how the regular duties of these individuals will be performed during the grant period. The Budget Justification should explain the role of any outside consultants and third-party vendors to be employed on the project and how each was identified and selected. Costs for third-party service providers should be documented by bids or otherwise justified.

**SPECIFICATIONS
FOR
PROJECTS
INVOLVING
DIGITIZATION
(IF
APPLICABLE)**

For a list of resources on digitization projects that can help applicants complete this form, see pages 3.6 to 3.8. This list is intended to assist in learning more about digitization projects and is neither exhaustive nor an endorsement by IMLS of any particular resource. Below, IMLS has provided instructions describing what information to include in the Specifications for Projects Involving Digitization form (pages 5.9 to 5.10).

INSTRUCTIONS**Question 1**

Describe all the types of materials that you will digitize. Describe the different formats of materials such as text, photographs, three-dimensional art objects, archaeological artifacts, video, etc., and give the number of each type. Identify special physical features, such as “bound” or “oversize.”

Question 2

- a. Identify all use or access restrictions covering the original materials. Check the type of restriction and give the percentage of the materials to be digitized that are covered.
- b. Explain any access or use restrictions, such as copyright, that will apply to the digitized version being created by the project.

Question 3

Explain what equipment will be used and include specifications that are relevant to the work of the project, such as cameras with zoom capability, scanners, servers, motorized object rigs, etc. Equipment must be described whether you will do the digitization in-house or outsource it to a contractor or partner.

Question 4

Specify the file formats to be produced and the anticipated quality of each format. For images, specify master, access, and thumbnail versions and image quality of each: minimum resolution, depth, tone, and pixel dimensions. If watermarks or other

features will be used, explain. For other media (e.g., audio, video, motion picture), provide appropriate specifications. Include sampling rates, if applicable.

Question 5

Explain how the digital material will be delivered to users and describe digital access management systems or software that will be used.

Question 6

Describe your plan for ensuring the quality of the digital product.

Question 7

Estimate the cost per image or unit of digitization (e.g., video, motion picture). Include all aspects of production, such as scanning, quality control, and indexing, and explain what costs are included in the calculation.

Question 8

Explain what metadata will be used to describe and manage the content. Include the standards that will be used for data structure, content (e.g., thesauri), protocols, administrative information, and communication of the content.

Question 9

Provide a plan for preserving and maintaining the digital material during and after the grant period. The plan should cover metadata, storage systems and media to be used, migration plans, maintenance responsibilities, and funding support.

Question 10

If you are producing collection-level records, describe plans for submitting collection-level descriptive records to a bibliographic utility or service, such as the Research Libraries Information Network (RLIN) or Online Computer Library Center (OCLC).

Question 11

Describe plans for submitting information about the project to a public registry of digital resources, including the IMLS-supported Digital Collections and Content Registry and Metadata Repository Project at <http://imlsdc.granger.uiuc.edu>.

Question 12

Provide URL(s) for applicant's previously digitized collections, if applicable. If the proposed digital collection will differ substantially in look and feel from collections previously digitized, explain what the difference(s) will be.

PARTNERSHIP STATEMENT

A sample Partnership Statement is provided on page 5.12. If a partnering institution is reflected in the budget as contributing financially to the project or receiving grant funds, a signed partnership agreement must be submitted with the application.

PROOF OF NONPROFIT STATUS (IF APPLICABLE)

If the applicant organization is a private, nonprofit organization (if you answered "Private Nonprofit" or "Other" on line 31 of the Face Sheet), you must submit a copy of the IRS letter indicating your organization's eligibility for nonprofit status under the applicable provisions of the Internal Revenue Code of 1954, as amended. IMLS will not accept a letter of state sales tax exemption as proof of nonprofit status.

**APPLICANT(S)
ORGANIZATIONAL
PROFILE**

The applicant and each official partner must provide an organizational profile of no more than one page that identifies the organization's mission, service area and levels of service, placement within a parent organization (if applicable) and where within the organization the responsibility for the management of the proposed project activities would be assigned.

R E S U M E S

Resumes or vitae of no more than two pages *each* for all key personnel (both staff and consultants) must be included.

ATTACHMENTS

Applicants should include documents that specifically relate to the justification for the project. IMLS strongly encourages inclusion of needs assessments, reports from planning activities, products or evaluations from relevant previously completed or ongoing projects, or other documents to assist in evaluation of the proposal. Separately bound volumes or notebooks submitted as attachments will not be forwarded to reviewers.

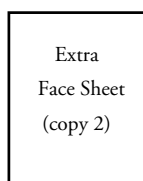
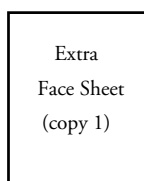
**ASSEMBLING
AND
SENDING
THE
APPLICATION**

Assembling the Application Package

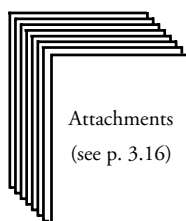
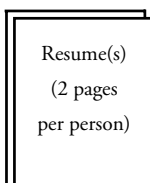
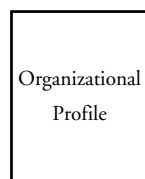
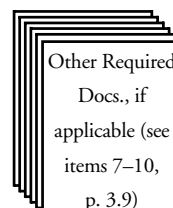
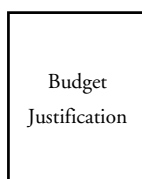
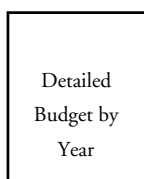
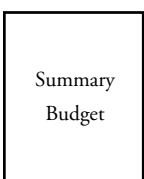
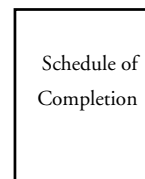
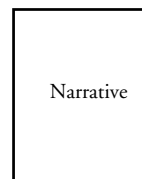
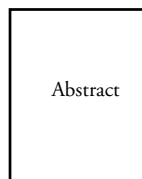
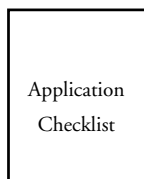
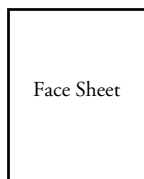
Review your application package carefully before sending it to us. You must include all of the required items listed below and the proper number of copies. (Each item is described in detail on pages 3.9–3.16.) Your application is subject to rejection without review if any required item is missing. If you have any questions, contact IMLS at (202) 606-5227 for National Leadership Grants for Libraries or (202) 606-8539 for National Leadership Grants for Museums.

ASSEMBLE YOUR APPLICATION PACKAGE AS FOLLOWS

STEP 1: MAKE TWO PHOTOCOPIES OF YOUR FACE SHEET IN ADDITION TO YOUR ORIGINAL.



STEP 2: COLLATE ONE ORIGINAL (COMPLETE) COPY OF YOUR APPLICATION AS FOLLOWS:



3.5 inch disk



OR

CD



STEP 3: MAKE TEN (10) IDENTICAL SETS (EXCLUDING THE 3.5 INCH DISK OR THE CD) OF THE MATERIAL YOU ASSEMBLED IN STEP 2.

STEP 4: COLLATE YOUR PILES FROM STEP 1-3 AS FOLLOWS:

Extra
Face Sheets
(2 Copies)

STEP 1

Original
Application

STEP 2

Ten (10)
copies of the
application

STEP 3

YOUR MATERIALS ARE NOW READY TO SEND TO IMLS.

Note: IMLS will not do your photocopying or collating!

Sending the Application to IMLS

When a library is the lead applicant, proposals should be submitted to the Office of Library Services. When a museum is the lead applicant, proposals should be submitted to the Office of Museum Services.

Ship NLG applications to:

Postmark by

National Leadership Grants for Libraries

February 1

Office of Library Services
Institute of Museum and Library Services
1100 Pennsylvania Avenue, NW, Room 802
Washington, DC 20506

— OR —

National Leadership Grants for Museums

February 1

Office of Museum Services
Institute of Museum and Library Services
1100 Pennsylvania Avenue, NW, Room 609
Washington, DC 20506

SHIPPING

Shipping an application to IMLS:

- All applications must be postmarked no later than the application deadline. Applications that do not meet the postmark deadline will be rejected without evaluation.
- All of the first-class and Priority mail sent to IMLS through the U.S. Postal Service is put through an irradiation process, which results in lengthy delays in mail delivery. Support materials (e.g., CDs, videos, slides) put through the irradiation process are suffering irrevocable damage.
- Please consider using commercial delivery services. Applications do not need to be sent overnight; ground service is acceptable.
- If you must use the U.S. Postal Service, IMLS recommends certified or registered mail.
- Due to the length and number of copies required for complete submission, applications cannot be accepted by fax or e-mail.
- In the event that a deadline falls on a day U.S. Post Offices are closed, such as Sundays and federal holidays, IMLS will accept proposals postmarked the next business day.

IMLS ACKNOWLEDGMENT

- Within 30 working days after the application deadline, IMLS will mail applicants an acknowledgment form with an application log number. If this form is not received, contact IMLS to make sure the application was received.
- If an application is received more than 30 working days after the postmark deadline, it may not be sent out for review, and may be rejected. See Shipping, above, for information about postal delays.

**PROOF OF
SHIPPING**

IMLS may ask for proof of shipping if the postmark date on the package cannot be read.

- The U.S. Postal Service does not always postmark a package when it receives one. Ask to have the package dated, then verify that it is properly date stamped.
- IMLS will accept a legible receipt stamped by the U.S. Postal Service or a legible dated shipping label, invoice, or receipt from a commercial carrier.
- IMLS will not accept private metered postmarks or private mail receipts unless they contain a legible date stamped by the U.S. Postal Service.
- If using registered mail, the green return receipt card does not meet the IMLS requirement for proof of shipping.
- If an application is received more than 30 working days after the postmark deadline, it may not be sent out for review, and may be rejected.

**APPLICATION
FORMS**

Application Checklist

Use this checklist to help you arrange the sections of the application in the correct order. This form is available as a fill-in form on the IMLS Web site (see information on electronic forms, page 3.9).

- ☐ Face Sheet
- ☐ Application Checklist
- ☐ Abstract
- ☐ Narrative
- ☐ Schedule of Completion
- ☐ Project Budget
 - ☐ Summary Budget
 - ☐ Detailed Budget
 - ☐ Budget Justification
- ☐ Current, Federally Negotiated Rate for Indirect Costs, if applicable
- ☐ Specifications for Projects Involving Digitization, if applicable
- ☐ Partnership Statement, if applicable
- ☐ Proof of Nonprofit Status, if applicable
- ☐ Applicant(s) Organizational Profile
- ☐ Resumes of Key Personnel (no longer than two pages per person)
- ☐ Attachments, as appropriate
 - ☐ Report from Planning Activities (e.g., Needs Assessments, Digitization Plans)
 - ☐ Products or Evaluations from Previously Completed or Ongoing Projects of a Similar Nature
 - ☐ Other _____
- ☐ Applicants are required to submit an electronic copy of question 36 of the Face Sheet, abstract, narrative, and Specifications for Projects Involving Digitization, if applicable, on a 3.5 inch disk or a CD, formatted as a text file (.txt) or a rich text file (.rtf). Be sure to include institution and project contact information as a file in your disk.

OMB No. 3137-0035

CFDA No. 45.312

Face Sheet

IMPORTANT! READ INSTRUCTIONS ON PAGE 3.10 BEFORE PROCEEDING.

1. Applicant Organization

2. Organizational Unit (if applicable)

3. Applicant Organization Mailing Address

4. City

5. State

6. Zip Code

7. Web Address

8. Applicant Organization DUNS Number (9 digits)

9. Applicant Organization TIN Number (9 digits)

10. Name and Title of Project Director ☐ Mr. ☐ Ms. ☐ Dr.

11. Business Phone of Project Director

12. Project Director Mailing Address

13. City

14. State

15. Zip Code

16. Fax Number of Project Director

17. E-mail Address of Project Director

18. Name and Title of Authorizing Official

19. Business Phone of Authorizing Official

20. Authorizing Official Mailing Address

21. City

22. State

23. Zip Code

24. E-mail Address of Authorizing Official

25. Is the applicant organization university controlled? ☐ yes ☐ no

26. In the space below, include names of any organizations that are official partners of the project.

27. Project Title _____

28. Amount Requested \$ _____ 29. Amount of Matching Funds \$ _____

30. Grant Period (starting date) ____/01/____ – ____/____/____ (ending date)

31. Governing Control of Applicant: ☐ State ☐ County ☐ Municipal ☐ Private Nonprofit
☐ Tribal Government ☐ Other, please specify _____

32. For museum applicants, non-federal operating budget for the most recently completed fiscal year
 \$ _____

33. Type of Organization (check one)

- ☐ Academic library
- ☐ Library association
- ☐ Museum association
- ☐ Museum library
- ☐ Museum education program at an institution of higher education
- ☐ Museum studies program at an institution of higher education
- ☐ Public library
- ☐ Research library/archives
- ☐ School library or school district applying on behalf of a school library or libraries
- ☐ School of library and information science
- ☐ Special library
- ☐ State library agency
- ☐ State museum library
- ☐ Institution of higher education, if no other choice applies

- ☐ Aquarium
- ☐ Arboretum/botanical garden
- ☐ Art museum
- ☐ Children's/youth museum
- ☐ General museum*
- ☐ Historic house/site
- ☐ History museum
- ☐ Nature center
- ☐ Natural history museum
- ☐ Planetarium
- ☐ Science/technology museum
- ☐ Zoo
- ☐ Specialized**
- ☐ Other _____

* A museum with collections representing two or more disciplines equally (e.g., art and history).

** A museum with collections limited to one narrowly defined discipline (e.g., textiles, stamps, maritime, ethnic group).

34. Check Type of Project:

- ☐ Advancing Learning Communities
- ☐ Building Digital Resources
- ☐ Research and Demonstration

35. Applicant Name _____

36. In the space below, summarize the project activities. (200 words maximum)

37. To the best of my knowledge and belief, the information provided in this application is true and correct. This application has been duly authorized by the governing body of the applicant, and the applicant will comply with all grant terms and conditions and with the assurances and certifications that appear in the IMLS National Leadership Grants guidelines.

Name of Authorizing Official _____

Title _____

Signature of Authorizing Official _____ Date _____

Project Budget Form

SECTION 1: SUMMARY BUDGET

Name of Applicant Organization _____

IMPORTANT! READ INSTRUCTIONS ON PAGES 3.11–3.14 BEFORE PROCEEDING.

DIRECT COSTS

	IMLS	Cost Share	Total
SALARIES & WAGES	_____	_____	_____
FRINGE BENEFITS	_____	_____	_____
CONSULTANT FEES	_____	_____	_____
TRAVEL	_____	_____	_____
MATERIALS, SUPPLIES & EQUIPMENT	_____	_____	_____
SERVICES	_____	_____	_____
OTHER	_____	_____	_____
TOTAL DIRECT COSTS	\$ _____	\$ _____	\$ _____
INDIRECT COSTS *	\$ _____	\$ _____	\$ _____

*You may request indirect costs from IMLS only on the direct project costs requested from IMLS.

TOTAL PROJECT COSTS \$ _____

AMOUNT OF CASH-MATCH \$ _____

AMOUNT OF IN-KIND CONTRIBUTIONS \$ _____
(INSTITUTIONAL COST-SHARING, INCLUDING INDIRECT COSTS)

TOTAL AMOUNT OF MATCH (CASH & IN-KIND CONTRIBUTIONS) \$ _____

AMOUNT REQUESTED FROM IMLS, INCLUDING INDIRECT COSTS \$ _____

PERCENTAGE OF TOTAL PROJECT COSTS REQUESTED FROM IMLS _____ %
(MAY NOT EXCEED 50% IF REQUEST EXCEEDS \$250,000 – RESEARCH PROJECTS EXCEPTED, SEE COST SHARING ON PAGE 1.5)

Have you received or requested funds for any of these project activities from another federal agency?
(Please check one) ☐ Yes ☐ No

If yes, name of agency _____

Date of application _____ or award _____ Amount requested or received \$ _____

Project Budget Form

SECTION 2: DETAILED BUDGET

Year ☐1 ☐2 ☐3 - Budget Period from _____ to _____

Name of Applicant Organization _____

IMPORTANT! READ INSTRUCTIONS ON PAGES 3.11–3.14 BEFORE PROCEEDING.

SALARIES AND WAGES (PERMANENT STAFF)

NAME/TITLE	No.	METHOD OF COST COMPUTATION	IMLS	COST SHARE	TOTAL
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
TOTAL SALARIES AND WAGES \$			_____	_____	_____

SALARIES AND WAGES (TEMPORARY STAFF HIRED FOR PROJECT)

NAME/TITLE	No.	METHOD OF COST COMPUTATION	IMLS	COST SHARE	TOTAL
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
TOTAL SALARIES AND WAGES \$			_____	_____	_____

FRINGE BENEFITS

RATE		SALARY BASE	IMLS	COST SHARE	TOTAL
_____	% of \$	_____	_____	_____	_____
_____	% of \$	_____	_____	_____	_____
_____	% of \$	_____	_____	_____	_____
_____	% of \$	_____	_____	_____	_____
TOTAL FRINGE BENEFITS \$			_____	_____	_____

CONSULTANT FEES

NAME/TYPE OF CONSULTANT	RATE OF COMPENSATION (DAILY OR HOURLY)	No. of DAYS (OR HOURS) ON PROJECT	IMLS	COST SHARE	TOTAL
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
TOTAL CONSULTANT FEES \$			_____	_____	_____

TRAVEL

FROM/TO	NUMBER OF: PERSONS DAYS	SUBSISTENCE COSTS	TRANSPORTATION COSTS	IMLS	COST SHARE	TOTAL
_____	() ()	_____	_____	_____	_____	_____
_____	() ()	_____	_____	_____	_____	_____
_____	() ()	_____	_____	_____	_____	_____
_____	() ()	_____	_____	_____	_____	_____
TOTAL TRAVEL COSTS \$				_____	_____	_____

Project Budget Form

SECTION 2: DETAILED BUDGET CONTINUED

Year ☐1 ☐2 ☐3

MATERIALS, SUPPLIES AND EQUIPMENT

ITEM	METHOD OF COST COMPUTATION	IMLS	COST SHARE	TOTAL
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
TOTAL COST OF MATERIALS, SUPPLIES, & EQUIPMENT \$		_____	_____	_____

SERVICES

ITEM	METHOD OF COST COMPUTATION	IMLS	COST SHARE	TOTAL
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
TOTAL SERVICES COSTS \$		_____	_____	_____

OTHER

ITEM	METHOD OF COST COMPUTATION	IMLS	COST SHARE	TOTAL
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
TOTAL OTHER COSTS \$		_____	_____	_____

TOTAL DIRECT PROJECT COSTS \$ _____

INDIRECT COSTS

Check either item A or B and complete C. (See section on Indirect Costs, page 3.13.)

Applicant organization is using:

- ☐ A. An indirect cost rate which does not exceed 15 percent of modified total direct costs charged to IMLS.
☐ B. Federally negotiated indirect cost rate (see page 3.13).

Name of Federal Agency

Expiration Date of Agreement

Rate Base Amount

_____ % of \$ _____ = \$ _____

	IMLS	Cost Share	Total
C . Total Indirect Costs	\$ _____	\$ _____	\$ _____

Specifications for Projects Involving Digitization

IMPORTANT! READ INSTRUCTIONS ON PAGES 3.14–3.15 BEFORE PROCEEDING.

1. Describe types of materials to be digitized (e.g., artifacts, maps, manuscripts, photographs, audio recordings, video recordings, motion pictures) and number of each.

2. a. Identify copyright issues and other potential restrictions with regard to the original material:

- ☐ Public Domain ____% of total
- ☐ Permissions have been obtained ____% of total
- ☐ Permissions to be requested ____% of total – Plan to address: _____
- ☐ Privacy Concerns ____% of total – Plan to address: _____
- ☐ Other - Explain: _____

b. Describe the terms of access and use of the digitized version created by this project.

3. List the equipment, with specifications, whether purchased, leased, or outsourced, that will be used (e.g., camera, scanner, server): _____

4. Specify each type of file format (e.g., TIFF, JPEG) to be produced and anticipated image quality of each (e.g., minimum resolution, depth, tone, pixel dimensions):

- ☐ Master _____
- ☐ Access _____
- ☐ Thumbnail _____
- ☐ Formats for other media (e.g., audio, video, motion picture), include sampling rates, if applicable _____

5. Describe (1) the delivery medium that will be used and (2) the digital access management system or systems that will be used to make this material available to others: _____

6. Describe the quality control plan: _____

7. Estimate cost per image. Include costs such as scanning, quality control and indexing. Indicate the basis for calculation: _____

8. Explain how content will be discovered through metadata, including which standards you will use (e.g., MARC, EAD, Dublin Core, VRA Core Categories, Categories for the Description of Works of Art):

9. Describe plans for preservation and maintenance of the digital files during and after the expiration of the grant period: _____

10. If you are producing collection-level records, describe plans for submitting collection-level descriptive records to a bibliographic utility, such as Research Libraries Information Network (RLIN) or Online Computer Library Center (OCLC): _____

11. Describe plans for submitting information about the project to a public registry of digital resources:

12. Provide URL(s) for applicant's previously digitized collections, if applicable:

Sample Schedule of Completion

The applicant must provide a Schedule of Completion that shows when each major project activity will be completed and how grant funds will be expended throughout the project. The Schedule of Completion must correspond to the activities described in the Narrative. It must include direct costs requested from IMLS for each activity. The dates on your Schedule of Completion must correspond with the project dates on the Face Sheet (pages 5.3-5.5). The applicant need not follow this sample format but must provide the same information, indicating milestones for completion of each major project activity and showing how grant funds are to be spent over the course of the project.

	Oct.	Nov.	Dec.	Jan.	Feb.	Mar.	Apr.	May	June	July	Aug.	Sept.
Data Requirements			\$11,500									
Design and Pre-test							\$65,000					
Conduct Survey						\$5,000						
Data Analysis												\$23,000
Web Site								\$19,000				
Teleconference										\$1,000		
Training Institute												\$15,000
Evaluation												\$1,500
Conferences											\$7,000	
Training Institute												\$15,000
Final Report Dissemination												\$25,000

Direct costs requested from IMLS \$188,000

Sample Partnership Statement

This page is a sample format for a partnership application. Prepare yours in a similar manner. You may complete separate statements with each partner or add additional signature lines for multiple partners. Information about partnership applications is on page 1.4. All partners must sign Partnership Statements. They do not need to all sign the same document.

1. Applicant Organization:

Other partner members (organizations):

2. Briefly list the activities that each organization has agreed to perform:

3. We, the undersigned institutions, agree to all of the following:

- We will carry out the activities described above and in the Application Narrative;
- We will use any funds we receive from IMLS in accordance with applicable federal laws and regulations; and
- We assure that our facilities and programs comply with applicable federal requirements.

Signature of Authorizing Official

Partner Organization (Type or Print)

Name of Authorizing Official (Type or Print)

Date

Signature of Authorizing Official

Partner Organization (Type or Print)

Name of Authorizing Official (Type or Print)

Date

Signature of Authorizing Official

Partner Organization (Type or Print)

Name of Authorizing Official (Type or Print)

Date

IMLS Assurances

The IMLS is required to obtain from all applicants certifications regarding federal debt status, debarment and suspension, nondiscrimination, and a drug-free workplace. Applicants requesting more than \$100,000 in grant funds must also certify regarding lobbying activities and may be required to submit a "Disclosure of Lobbying Activities" (Standard Form LLL). Some applicants will be required to certify that they will comply with other federal statutes that pertain to their particular situation. These requirements are incorporated in the Assurances Statement below. Review the Statement and sign the certification form, question number 37 on the Application Face Sheet, pages 5.3 to 5.5. If you receive a grant, you must comply with these requirements.

ASSURANCES STATEMENT

By signing the application form, the authorizing official, on behalf of the applicant, assures and certifies that, should a grant be awarded, it will comply with the statutes outlined below and all related IMLS regulations, which are available from IMLS upon request. These assurances are given in connection with any and all financial assistance from IMLS after the date this form is signed, but may include payments after this date for financial assistance approved prior to this date. These assurances shall obligate the applicant for the period during which the federal financial assistance is extended. The applicant recognizes and agrees that any such assistance will be extended in reliance on the representations and agreements made in these assurances, and that the United States government has the right to seek judicial enforcement of these assurances, which are binding on the applicant, its successors, transferees, and assignees, and on the authorized official whose signature appears on the application form.

I. CERTIFICATIONS REQUIRED OF ALL APPLICANTS

FINANCIAL, ADMINISTRATIVE, AND LEGAL ACCOUNTABILITY

The authorizing official, on behalf of the applicant, certifies that the applicant has legal authority to apply for federal assistance and the institutional, managerial, and financial capability (including funds sufficient to pay the nonfederal share of project costs) to ensure proper planning, management, and completion of the project described in this application.

The authorizing official, on behalf of the applicant, certifies that the applicant will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. § 7501 et seq.) and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

The authorizing official, on behalf of the applicant, certifies that the applicant will comply with the provisions of OMB Circular No. A-110, "Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations."

FEDERAL DEBT STATUS

The authorizing official, on behalf of the applicant, certifies to the best of his or her knowledge and belief that the applicant is not delinquent in the repayment of any federal debt.

**DEBARMENT
AND
SUSPENSION**

The authorizing official, on behalf of the applicant, certifies to the best of his or her knowledge and belief that the applicant and its principals:

- (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency;
- (b) have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction, or in connection with a violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and
- (d) have not within a three-year period preceding this application/proposal had one or more public transactions (federal, state or local) terminated for cause or default.

**NON-
DISCRIMINATION**

The authorizing official, on behalf of the applicant, certifies that the applicant will comply with the following nondiscrimination statutes and their implementing regulations:

- (a) Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000 et seq.), which prohibits discrimination on the basis of race, color, or national origin;
- (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 et seq.), which prohibits discrimination on the basis of disability;
- (c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-83, 1685-86), which prohibits discrimination on the basis of sex in education programs; and
- (d) the Age Discrimination in Employment Act of 1975, as amended (42 U.S.C. § 6101 et seq.), which prohibits discrimination on the basis of age.

**DRUG-FREE
WORKPLACE
ACT OF
1988**

(A) The authorizing official, on behalf of the applicant, certifies that the applicant will or will continue to provide a drug-free workplace by:

- (a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the action that will be taken against employees for violation of such prohibition;
- (b) establishing an ongoing drug-free awareness program to inform employees about:
 - (1) the dangers of drug abuse in the workplace;
 - (2) the grantee's policy of maintaining a drug-free workplace;
 - (3) any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) the penalties that may be imposed on employees for drug abuse violations occurring in the workplace;
- (c) making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

- (d) notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will
 - (1) abide by the terms of the statement; and
 - (2) notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace not later than five calendar days after such conviction;
 - (e) notifying the agency in writing within ten (10) calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the federal agency has designated a central point for the receipt of such notices. Notices shall include the identification number(s) of each affected grant;
 - (f) taking one of the following actions within thirty (30) days of receiving notice under subparagraph (d)(2) with respect to any employee who is so convicted:
 - (1) taking appropriate personnel action against such an employee, up to and including termination consistent with the requirements of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 et seq.); or
 - (2) requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law or other appropriate agency; and
 - (g) making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).
- (B) The applicant shall either identify the site(s) for the performance of work done in connection with the project in the application material or shall keep this information on file in its office so that it is available for federal inspection. The street address, city, county, state, and zip code should be provided whenever possible.

**CERTIFICATION
REGARDING
LOBBYING
ACTIVITIES
(APPLIES
TO
APPLICANTS
REQUESTING
FUNDS IN
EXCESS OF
\$100,000)**

- The authorizing official certifies, to the best of his or her knowledge and belief that:
- (a) no federal appropriated funds have been paid or will be paid, by or on behalf of the authorizing official, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of a federal contract, the making of a federal grant, the making of a federal loan, the entering into of a cooperative agreement, or the extension, continuation, renewal, amendment, or modification of a federal contract, grant, loan, or cooperative agreement;
 - (b) if any funds other than appropriated federal funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant) for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan or cooperative agreement, the authorizing official shall request, complete, and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions; and
 - (c) the authorizing official shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

GENERAL CERTIFICATION

The authorizing official, on behalf of the applicant, certifies that it will comply with all applicable requirements of all other federal laws, executive orders, regulations, and policies governing the program. IMLS grant regulations may be found at 45 CFR Part 1180 *et seq.*

II. CERTIFICATIONS REQUIRED OF SOME APPLICANTS

The following certifications are required if applicable to the project for which an application is being submitted. Applicants should be aware that additional federal certifications, not listed below, might apply to a particular project.

SUBAGREEMENTS

Applicants who plan to use awards to fund subgrants, contracts and subcontracts should be aware that they must receive the following certifications from applicants to grant programs and those who bid on contracts:

- (1) certification of compliance with the nondiscrimination statutes from institutional applicants and contractors, and
- (2) certification regarding debarment and suspension from applicants to grant programs (regardless of the amount requested) and from potential contractors and subcontractors who will receive \$100,000 or more in grant funds. Applicants are also required to include without modification the following wording in solicitations for all grant proposals and for contracts that are expected to equal or exceed \$100,000:
 - (a) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.
 - (b) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

NATIVE AMERICAN HUMAN REMAINS AND ASSOCIATED FUNERARY OBJECTS

The authorizing official, on behalf of the applicant, certifies that the applicant will comply with the provisions of the Native American Graves Protection and Repatriation Act of 1990 (25 U.S.C. § 3001 *et seq.*), which applies to any organization that controls or possesses Native American human remains and associated funerary objects, and which receives federal funding, even for a purpose unrelated to the Act.

HISTORIC PROPERTIES

The authorizing official, on behalf of the applicant, certifies that the applicant will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. § 470f), Executive Order (E.O.) 11593, and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. § 469 *et seq.*).

**ENVIRONMENTAL
PROTECTIONS**

The authorizing official, on behalf of the applicant, certifies that the project will comply with environmental standards, including the following:

- (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969, as amended (42 U.S.C. § 4321 et seq.) and Executive Order (E.O.) 11514;
- (b) notification of violating facilities pursuant to Executive Order (E.O.) 11738;
- (c) protection of wetlands pursuant to Executive Order (E.O.) 11990, as amended by Executive Order (E.O.) 12608;
- (d) evaluation of flood hazards in floodplains in accordance with Executive Order (E.O.) 11988, as amended;
- (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972, as amended (16 U.S.C. § 1451 et seq.);
- (f) conformity of federal actions to State (Clean Air) Implementation Plans under section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.);
- (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (42 U.S.C. § 300f et seq.); and
- (h) protection of endangered species under the Endangered Species Act of 1973, as amended (16 U.S.C. §§ 1531-1543).

The authorizing official, on behalf of the applicant, certifies that the project will comply with the Wild and Scenic Rivers Act of 1968, as amended (16 U.S.C. §1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

The authorizing official, on behalf of the applicant, certifies that the applicant will comply with the flood insurance requirements of the Flood Disaster Protection Act of 1973, as amended (42 U.S.C. § 4001 et seq.), which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.

**RESEARCH
ON HUMAN
AND
ANIMAL
SUBJECTS**

The authorizing official, on behalf of the applicant, certifies that the project will comply with 45 C.F.R. Part 46 regarding the protection of human subjects involved in research, development and related activities supported by this award of assistance.

The authorizing official, on behalf of the applicant, certifies that the project will comply with the Laboratory Animal Welfare Act of 1966, as amended (7 U.S.C. § 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

For further information on these certifications, contact IMLS at 1100 Pennsylvania Avenue, NW, Room 510, Washington, DC 20506 or call (202) 606-8536.

Equal Opportunity Statement

IMLS programs do not discriminate on the basis of race, color, national origin, sex, disability, or age. For further information, write to the Civil Rights Officer, Institute of Museum and Library Services, 1100 Pennsylvania Avenue, NW, Washington, DC 20506.



INSTITUTE
of MUSEUM
and LIBRARY
SERVICES

Washington, DC 20506

Official Business
Penalty for Private Use, \$300

PRSRT STD
US Postage
Paid
Institute of
Museum &
Library Services
Permit No. G-274

Dated Material
OPEN IMMEDIATELY